"Putting Records First"
Records Management Service Components

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RMSC
Records Management Service Components

Purpose of Today's Session

- Examine three converging concepts and strategies:
  - the U.S. Government's approach to designing its information and computing infrastructure
  - the lifecycle of records and their management
  - the provision of services through software components
- Overview the Records Management Service Components (RMSC) Requirements Development Project
- Discuss RMSC *vis a vis* other ERM initiatives and the Electronic Records Archives
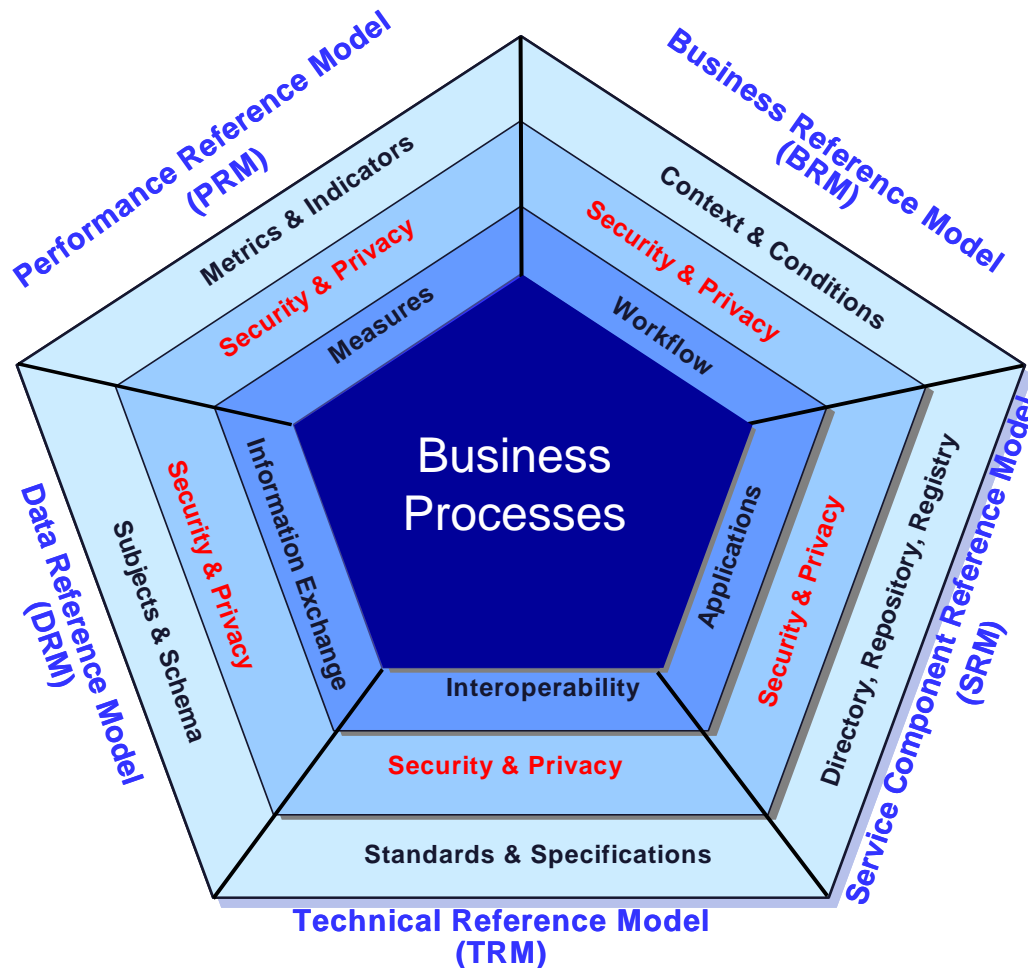
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Federal Enterprise Architecture (FEA)

- A design framework and decision-making criteria for Federal information technology (IT) investment

- Describes the relationship between business functions and the technologies and information that supports them

- Funding preference is given to IT investments that promote re-use, save time and money, and improve quality
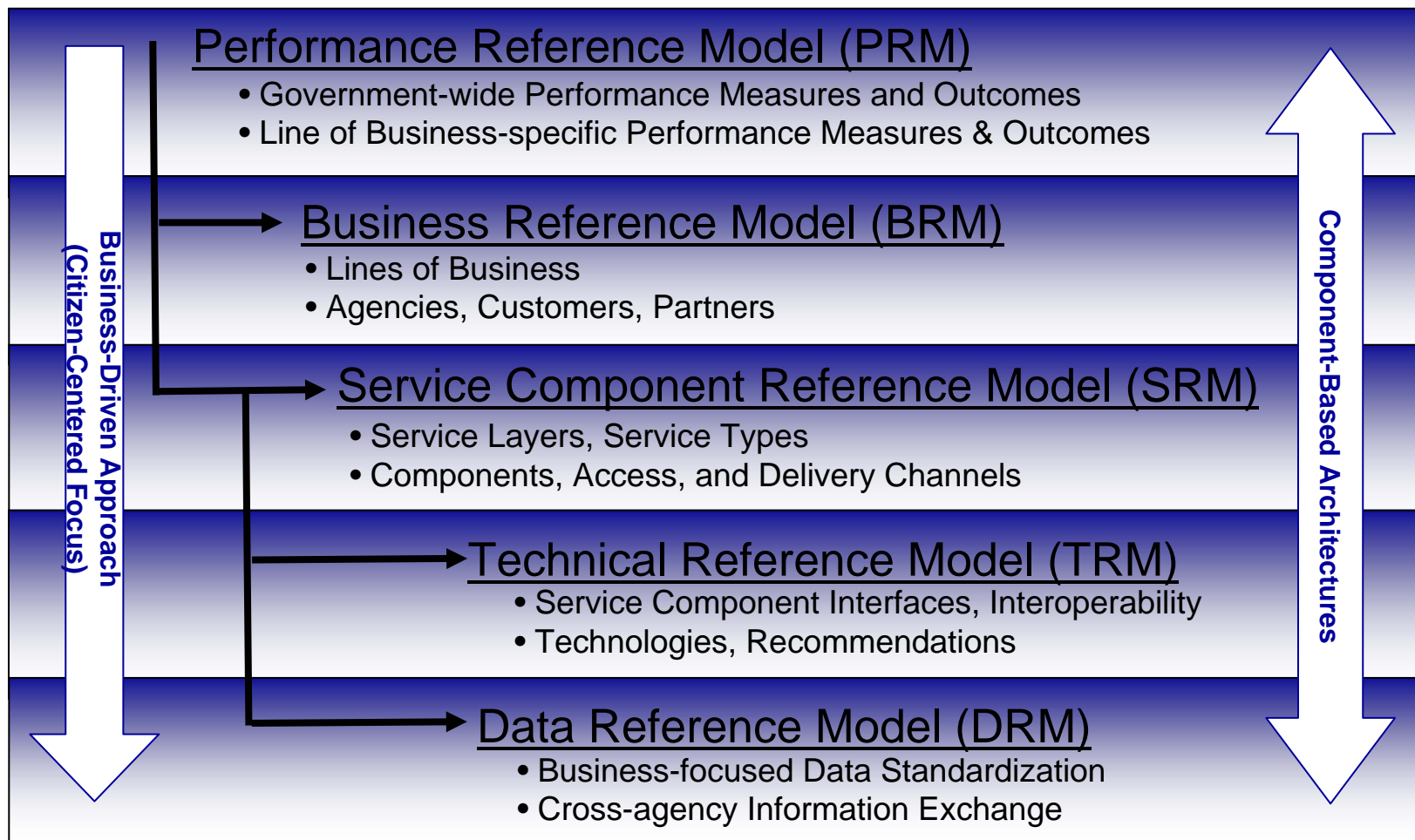
- Comprised of five (5) reference models

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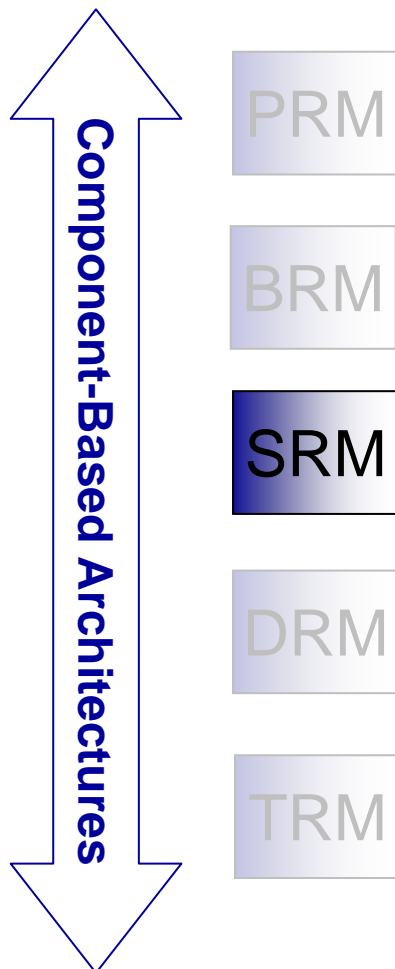# Federal Enterprise Architecture Reference Models

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Federal Enterprise Architecture Reference Models

Performance Reference Model (PRM)
- Government-wide Performance Measures and Outcomes
- Line of Business-specific Performance Measures & Outcomes

Business Reference Model (BRM)
- Lines of Business
- Agencies, Customers, Partners

Service Component Reference Model (SRM)
- Service Layers, Service Types
- Components, Access, and Delivery Channels

Technical Reference Model (TRM)
- Service Component Interfaces, Interoperability
- Technologies, Recommendations

Data Reference Model (DRM)
- Business-focused Data Standardization
- Cross-agency Information Exchange

Business-Driven Approach (Citizen-Centered Focus)

Component-Based Architectures

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5

Component-Based Architecture

**Component-Based Architectures**

PRM

BRM

SRM

DRM

TRM

- Design of enterprise-wide IT solutions to business requirements through the use of modular service components.

- Focus can be enterprise, project, or object level.

- Shows what has been built and what needs to be built

- Enables "swapping out" service layers and components, reuse of existing components, reduced duplication of effort

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Component-Based Architecture

Component-Based Architectures
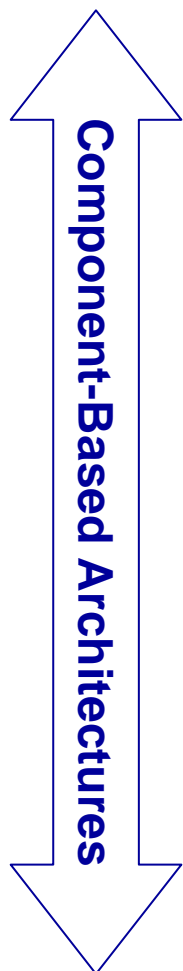
PRM

BRM

SRM

DRM

TRM

Service Component:

- a piece of software that provides a **service** or function within a computing environment, and is defined by the interfaces it has with entities around it.

- inherently modular and portable

- designed to be useable by many applications requiring similar services

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Component-based Services

- Basic Operating System service components:
  - System clock and date
  - Cursor movement and functions
  - Display
  - Clipboard
  - Print
  - Keyboard
- Common requirements met through central services at point of creation

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The Records Lifecycle
Federal Agency Viewpoint

Records Lifecycle

Creation......   **Use**....   **Disposition**....

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The Records Lifecycle
NARA Viewpoint

Records Lifecycle

Creation......   **Use....**   **Disposition....**
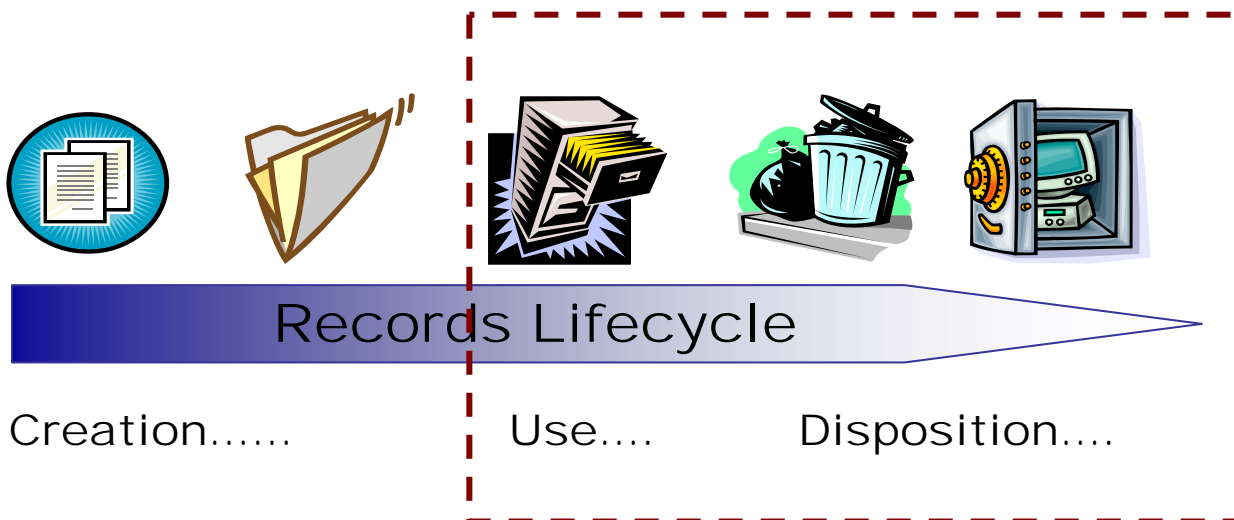
- schedule disposition
  - transfer physical custody
    - transfer legal custody

Where Records Management (usually) comes in

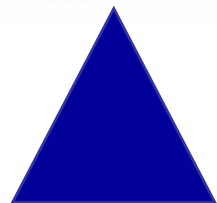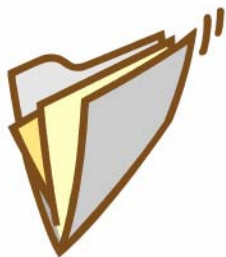**Records Management**

Records Lifecycle

Creation......   Use....   Disposition....

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Where we want
Records Management
to come in…

Records Management

Records Lifecycle

Creation......   **Use....**   **Disposition....**

Making the Transition to Tomorrow

– **What is an RMSC?**

- A records management service component is a piece of software that provides services that support the creation, management, transfer, and destruction of electronic records within a computing environment.

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Making the Transition to Tomorrow

- **Records Management Service Components (RMSC)**
  - Front end of the business process
  - FEA and ERA compatible
  - Works with front end RMAs at agencies
  - Captures context of creation and relationship to other records at the point of creation
  - Information about the record is carried forward through the lifecycle
  - Establishes an baseline against which authenticity can be validated over time

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Requirements Development Project

- ## Collaboration
  - 18 cabinet agencies, two universities, nine IT vendors
  - 11 NARA subject matter experts representing four offices
  - Use state-of-the-art collaborative technology
  - Offsite meetings led by experienced facilitators

- ## Objectives
  - Collect, prioritize, and document functional requirements for core records management activities that can be supported by software service components
  - Identify related attributes, metadata definitions, and constraints
  - Document the workshops output in session reports
  - Make the results available to wider audience

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- **18 cabinet attended four sessions this spring**

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Participating Agencies

- **18 cabinet attended four sessions this spring**

  - Treasury
  - EPA
  - Labor
  - Agriculture
  - Commerce
  - DoD/OSD
  - Veterans Affairs
  - State
  - Transportation
  - HHS

  - GSA
  - Homeland Security
  - Social Security Administration
  - Housing & Urban Development
  - Justice
  - Interior
  - Energy
  - NASA

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Participating Experts

- Over 30 experts in records management, enterprise architecture, e-Government, Privacy Act, FOIA, &c.
  - Departmental Records Officers
  - Deputy Chief Information Officers
  - Senior E-Government Architect
  - Chief, FOIA – Privacy Branch
  - Director, Policy and Planning
  - Division Chief, Directives & Records
  - Electronic Records Management Lead
  - Chief, Life Cycle Management Branch
  - Senior Records Analysts

RMSC
Scope and Constraints

- ## View Point
  - Records Management Activities

- ## Return on Investment Constraint
  - RM activities used the most often
  - RM activities used by government employees/business processes

- ## In Scope
  - *From:* Receipt, Identification, Declaration of a record
  - *To:* Disposition of a record

- ## Out of Scope
  - Document creation (what makes up a document/record and how, who, and why it was created)
  - Security, privacy, etc.
  - Systems maintenance
  - How it is stored and what it is stored on – storage media
  - Format e.g. .doc, PDF, TIFF
  - System management backup and recovery

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RMSC
- Results-

- All expected outcomes achieved
- Participants identifed/defined six RMSC components
- Prioritized RMSC components for acquisition
- Wrote 21 functional requirements
- Defined 33 RMSC attributes

- **Capture Record**
- **Categorize Record**
- **Assign Disposition**

- **Ensure Authenticity**
- **Associate Record**
- **Execute Disposition**

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RMSC
- Definitions-

- ## Capture Record
  - Capture information with associated attributes in an electronic system.

- ## Categorize Record
  - Utilizing agency business rules, assign an appropriate descriptive label to the records to facilitate management in an electronic system.

- ## Assign Disposition
  - Using an established disposition authority, assign the disposition schedule, item number, and disposition instructions to the record

RMSC
- Definitions-

- ## Ensure Authenticity
  - – Ensure the acceptability of a record as genuine, based on its characteristics such as structure, content, and context.

- ## Associate Record
  - – Provide the capability to associate a record to one or more other records through a Record Association attribute.

- ## Execute Disposition
  - – Implement destruction, transfer, or continued retention of a record in accordance with the established disposition authority. After validation that the disposition action is valid, execute the disposition action, and record the transaction.

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Making the Transition to Tomorrow

- Final Report, RMSC Requirements Development Project, March 31, 2005

http://www.archives.gov/electronic_records_archives/rmsc

the Big Picture

RMSC
Records Management Service Components

Unscheduled Records   Temporary/Permanent Records

FEA
Environment ——————→ RMSC ——————————————————→ ERA ——————→

RMA

Non RMSC, RMA
and Non RM Profile Records

Today – Records Management in the Records Lifecycle

Records Management

Records Lifecycle

Creation......   **Use....**   **Disposition....**

Value Span

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Tomorrow – Records Management in the Records Lifecycle

Records Management

Records Lifecycle

Creation...... **Use**.... **Disposition**....

Value Span
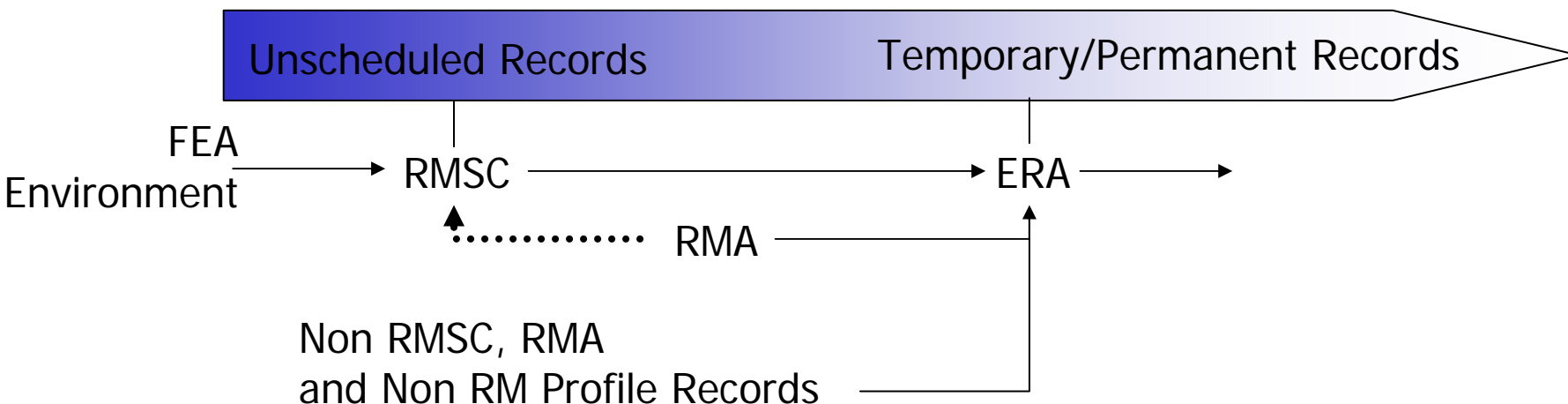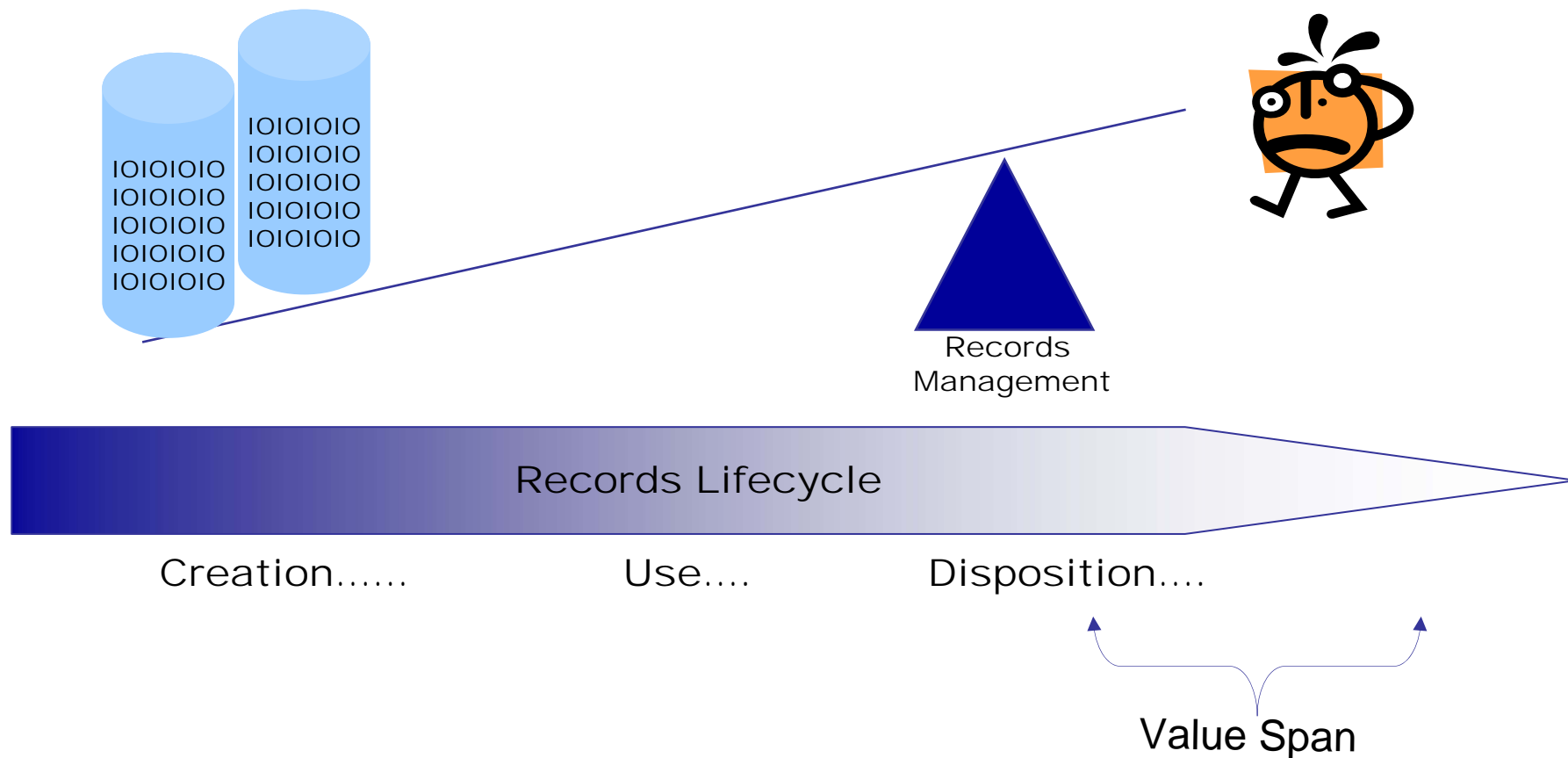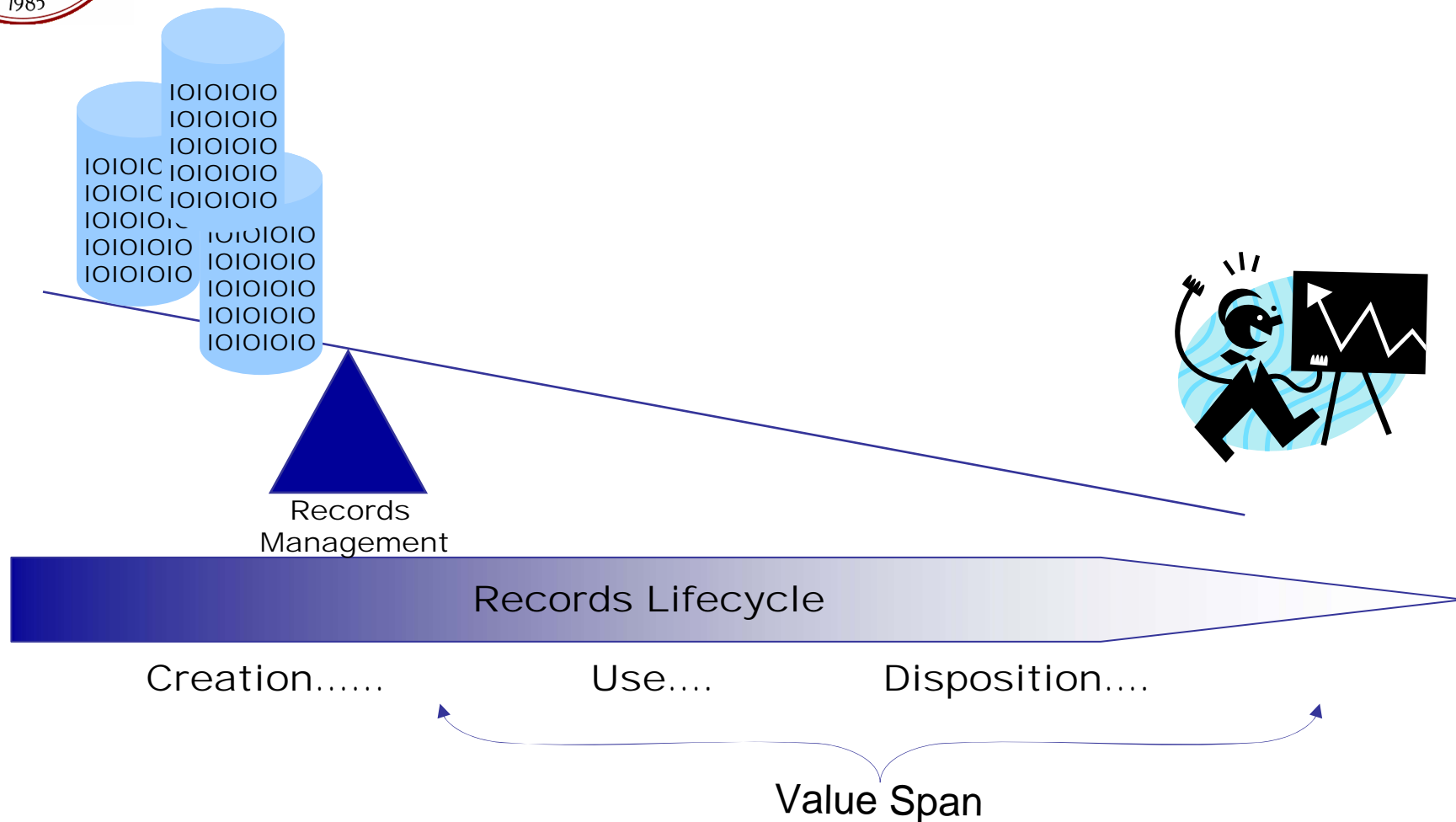
Questions?

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